



PTO/SB/08A (10-01)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		Complete if Known	
		Application Number	09/534,191
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Filing Date	03/24/2000
		First Named Inventor	Chan W. Lee
		Art Unit	2759
		Examiner Name	Not yet assigned
		Attorney Docket Number	042390.P4740
Sheet	1	of	2

U.S. PATENT DOCUMENTS					
Examiner Initials ¹	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
SM	1	US- 5,809,522	09-15-1998	Novak et al.	
	2	US-			
	3	US-			
	4	US-			
	5	US-			
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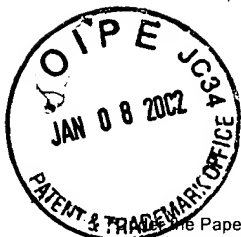
FOREIGN PATENT DOCUMENTS							
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴ - Kind Code ⁵ (if known)				
SM	21	EP	0 768 608 A2	04-16-1997	Sun Microsystems, Inc.		
	22	EP	0 768 608 A3 ✓	04-16-1997	Sun Microsystems, Inc.		
SM	23	EP	0 856 797 A1 ✓	08-05-1998	SGS-Thomson Microelectronics I.T.D.		
	24	GB	2311880 A	10-08-1997	Advanced RISC Machines Limited		
SM	25						
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Examiner Signature	<i>SM</i>	Date Considered	4/21/03
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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		Application Number	09/534,191
		Filing Date	03/24/2000
		First Named Inventor	Chan W. Lee
		Group Art Unit	2759
		Examiner Name	Not yet assigned
		Attorney Docket Number	042390.P4740
Sheet	2	of	2

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
gm	31	DONGWOOK K ET AL: "A PARTITIONED ON-CHIP VIRTUAL CACHE FOR FAST PROCESSORS" JOURNAL OF SYSTEMS ARCHITECTURE, ELSEVIER SCIENCE PUBLISHERS BV., AMSTERDAM, NL, vol. 43, no. 8, 1 May 1997 (1997-05-01), pages 519-531, XP000685730	
gm	32	PCT-International Search Report-PCT/US01/01577, September 10, 2001.	
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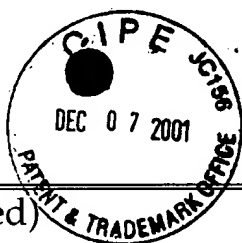
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Form PTO-1449 (Modified)				Atty Docket No.: 042390.P4740		Serial No.: 09/534,191	
List of Patents and Publications Statement (Use several sheets if necessary)				Applicants: Chan W. Lee, et al.			
				Filing Date: March 24, 2000			
				RECEIVED DEC 10 2001 Technology Center 2100			
REFERENCE DESIGNATION				U.S. PATENT DOCUMENTS			
Exam. Initial		Date	Document Number	Name	Class	Sub-Class	Filing Date
SM	1	11/1/94	5361337	Okin			
SM	2	2/21/95	5392437	Matter, et al.			
SM	3	12/17/96	5586332	Jain, et al.			
SM	4	5/13/97	5630,130	Perotto, et al.			
SM	5	7/28/98	5787297	Lin			
SM	6	4/6/99	5892959	Fung			
SM	7	11/9/99	5983339	Klim			
SM	8	4/18/00	6052708	Flynn, et al.			
SM	9	7/11/00	6088788	Borkenhagen, et al.			
SM	10	4/3/01	US6212544 B1	Borkenhagen, et al.			
SM	11	7/3/01	US6256775 B1	Flynn			
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country Name	Class	Sub-Class	Translation
M		EP0864960A1	13-03-1998	European	G06F 1/26		
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
SM		DEAN M. TULLSEN, et al. "Exploiting Choice: Instruction Fetch and Issue on an Implementable Simultaneous Multithreading Processor" Dept. of Computer Science & Engineering, University of WA, Seattle, WA ROA P. POKALA, et al., "Physical Synthesis for Performance Optimization", Vertex Semiconductor, San Jose, CA GREGORY T. BYRD, et al., "MULTITHREADED Processor Architectures", Western Carolina University, 8045 IEEE Spectrum, 32(1995) August, No. 8, New York, US MARK R. THISTLE, et al., "A Processor Architecture For Horizon", Institute for Defense Analyses, Supercomputing Research Center, Lanham, Maryland 20706					
Examiner SM				Date Considered 4/21/03			
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				<i>Complete if Known</i>	
				Application Number	09/534,191
				Filing Date	March 24, 2000
				First Named Inventor	Dion ROGERS, et al.
				Group Art Unit	2759
				Examiner Name	Not yet assigned
Sheet	1	of	1	Attorney Docket Number	042390.P4740

U.S. PATENT DOCUMENTS					
Examiner Initials *		U.S.Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
EM		5, 357,617	Davis et al.	10/18/1994	11/27/1991

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
EM	European	EP0747816		International Business Machines Corp.	12/11/1996	No
	PCT	WO99/21088		International Business Machines Corp.	04/29/1999	No

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
EM	PCT Written Opinion, 4/26/2001, PCT/US00/10800	No

Examiner Signature		Date Considered	4/21/03
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Sheet 1 of 2	Attorney Docket Number		042390.P4740

U.S. PATENT DOCUMENTS				
Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
	Number			
gm	3,771,138	Celtruda, et al.	11/6/1973	8/31/1971
gm	5,386,561	Huynh, et al.	1/31/1995	3/31/1992
gm	5,761,522	Hisanaga, et al.	6/2/1998	4/18/1996
gm	5,968,160	Saito, et al.	10/19/1999	9/4/1997

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FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
gm	European	0 962 856 A2	5.28.1999	Texas Instruments Inc.	12.8.1999	

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
gm	STEERE D et al., "A Feedback-driven Proportion Allocator for Real-Rate Scheduling", <u>Third Symposium on Operating Systems Design and Implementations</u> , February 22-25 1999, Pages 145-158, XP002153159.	
gm	INTEL, "P6 Family of Processors", <u>Hardware Developer's Manual</u> , September 1998, XP-002153160.	
gm	IBM, "Improved Dispatching in a Rendering Context Manager", <u>IBM Technical Disclosure Bulletin</u> , December 1990, Pages 131-134, Vol. 33, No. 7, XP000108363 ISSN: 0018-8689, Armonk, NY.	

Examiner Signature	Date Considered
<i>Supra</i>	4/21/03

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Sheet	2	of	2	Attorney Docket Number	042390.P4740

U.S. PATENT DOCUMENTS				
Examiner Initials *	U.S. Patent Document Number	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate

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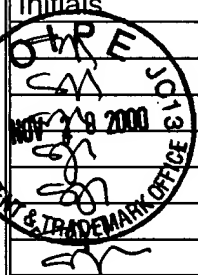

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OTHER DOCUMENTS		
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M	FARRENS, MK; PLESZKUN, AR., "Strategies for Achieving Improved Processor Throughput", <u>The 18th Annual International Symposium on Computer Architecture</u> , May 27-30, 1991, Pages 362-369.	
M	MENDELSON, A; BEKERMAN, M., "Design Alternatives of Multithreaded Architecture", <u>International Journal of Parallel Programming</u> , December 9, 1996, Vol. 27, No. 3, Pages 161-193, Pulum Publishing Corporation.	

Examiner Signature		Date Considered	4/24/03
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Form PTO-1449 (Modified)		Atty Docket No.: 042390.P4740		Serial No.: 09/534,191			
List of Patents and Publications Statement (Use several sheets if necessary) Page 1 of 1				Applicant: Chan W. Lee et al. Filing Date: March 24, 2000			
REFERENCE DESIGNATION			U.S. PATENT DOCUMENTS				
Examiner Initials		Document No.		Class	Sub- Class	Filing date if appropriate	
	AA	5,430,850	Papadopoulos, et al.	395	375	Jul 22, 1991	
	AB	5,499,349	Nikhil, et al.	395	375	Oct 3, 1994	
	AC	6,105,127	Kimura, et al.	712	215	Aug 27, 1997	
	AD	5,404,469	Chung, et al.	395	375	Feb 25, 1992	
	AE	6,092,175	Levy, et al.	712	23	Apr 2, 1998	
	AF	5,524,263	Griffth, et al.	395	800	Feb 25, 1994	
	AG	5,809,271	Colwell, et al.	395	384	Aug 23, 1995	
	AH						
	AI						
	AJ						
	AK						
FOREIGN PATENT DOCUMENTS							
No.		Document No.	Date	Country	Class	Sub- Class	Trans- lation
	AL						
	AM						
	AN						
	AO						
	AP						
OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)							
	AR						
	AS						
	AT						
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		First Named Inventor	Dion RODGERS
		Group Art Unit	2759
		Examiner Name	Not Yet Assigned
Sheet 1 of 5	Attorney Docket Number	042390.P4740	

U.S. PATENT DOCUMENTS				
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	Number			
SPM	5,791,522		Hisanga, et al.	6/2/1998
SPM	5,996,085		Cheong, et al.	11/30/1999
SPM	5,999,932		Paul	12/7/1999
SPM	6,052,709		Paul	4/18/2000
SPM	6,115,709		Gilmour, et al.	9/5/2000

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
SPM	PCT	WO 99/21082		IBM Corporation	4/29/1999	No
SPM	European	0 352 935		International Computers Limited	1/31/1990	No
SPM	European	0 346 003		Fujitsu Limited	12/13/1989	No

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
SPM	"Architectural and Implementation Tradeoffs in the Design of Multiple-Context Processors", James Laudon, Anoop Gupta and Mark Horowitz, Multithreaded Computer Architecture: A Summary of the State of the Art, chapter 8, pp. 167-200, Kluwer Academic Publishers 1994.	
SPM	"Multithreading for Rookies", Ruediger R. Asche, http://www.microsoft.com/win32dev/base/threads.htm , July 31, 1998.	

Examiner Signature	Date Considered
<i>[Signature]</i>	4/24/03

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First Named Inventor	Dion RODGERS
Group Art Unit	2759
Examiner Name	Not Yet Assigned
Attorney Docket Number	042390.P4740

Sheet | 2 | of | 5

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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	Office or Country	Number	Date			
	European	0 747 816 ✓		IBM	12/11/1996	No
	European	0 725 335		IBM	8/7/1996	No
	European	0 827 071		Matsushita Electric Industrial Co.	3/4/1998	No

OTHER DOCUMENTS

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h		"Performance Study of a Multithreaded Superscalar Microprocessor", Manu Gulati and Nader Bagherzadeh, Proceedings Second International Symposium on High-Performance Computer Architecture", February 3-7, 1996, pp 291-301. —	
sm		"Exploiting Choice: Instruction Fetch and Issue on an Implementable Simultaneous Multithreading Processor", Dean M. Tullsen, Susan J. Eggers, Joel S. Emer, Henry M. Levy, Jack L. Lo and Rebecca L. Stamm, Proceedings of the 23rd Annual International Symposium on Computer Architecture, May 22-24, 1996, pp 191-202.	

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Sheet 3 of 5

U.S. PATENT DOCUMENTS

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OTHER DOCUMENTS

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gm	✓	"Instruction Cache Fetch Policies for Speculative Execution", Dennis Lee, Jean-Loup Baer, Brad Calder and Dirk Grunwald, 22nd International Symposium on Computer Architecture, June 1995.	
gm	✓	"Multithreading Comes of Age", Peter Song, Microdesign Resources, July 14, 1997, pp 13-18.	

Signatures

4/2/03

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		"Evaluation of Multithreaded Uniprocessors for Commercial Application Environments", Richard J. Eickemeyer, Ross E. Johnson, Steven R. Kunkel, Mark S. Squillante and Shiafun Liu, Proceedings of the 23rd Annual International Symposium on Computer Architecture. May 22-24, 1996, pp 203-212	
		Simon W. Moore, Multithreaded Processor Design, Kluwer Academic Publishers, 1996.	

[Signature]

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(Modified by BSTZ 6/30/99)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

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Application Number	09/534,191
Filing Date	March 24, 2000
First Named Inventor	Dion RODGERS
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Sheet 5 of 5

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	Number				

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OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
m	"A Benchmark Evaluation of a Multi-Threaded RISC Processor Architecture", R. Guru Prasad and Chuan-lin Wu, 1991 International Conference on Parallel Processing, pp 1-84-191.	

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